

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

STEPHEN SULLIVAN, WHITE OAK FUND LP, :  
CALIFORNIA STATE TEACHERS' :  
RETIREMENT SYSTEM, SONTERRA CAPITAL :  
MASTER FUND, LTD., FRONTPOINT :  
PARTNERS TRADING FUND, L.P., AND :  
FRONTPOINT AUSTRALIAN OPPORTUNITIES :  
TRUST on behalf of themselves and all others :  
similarly situated,

Docket No. 13-CV-2811 (PKC)

## **DEFENDANT ICAP PLC'S RULE 7.1 DISCLOSURE STATEMENT**

UBS AG, UBS SECURITIES JAPAN CO. LTD.,  
MIZUHO BANK, LTD., THE BANK OF TOKYO-  
MITSUBISHI UFJ, LTD., THE SUMITOMO  
TRUST AND BANKING CO., LTD., THE  
NORINCHUKIN BANK, MITSUBISHI UFJ  
TRUST AND BANKING CORPORATION,  
SUMITOMO MITSUI BANKING  
CORPORATION, RESONA BANK, LTD., J.P.  
MORGAN CHASE & CO., JPMORGAN CHASE  
BANK, NATIONAL ASSOCIATION, J.P.  
MORGAN SECURITIES PLC, MIZUHO  
CORPORATE BANK, LTD., DEUTSCHE BANK  
AG, DB GROUP SERVICES UK LIMITED,  
MIZUHO TRUST AND BANKING CO., LTD.,  
THE SHOKO CHUKIN BANK, LTD., SHINKIN  
CENTRAL BANK, THE BANK OF  
YOKOHAMA, LTD., SOCIÉTÉ GÉNÉRALE SA,  
THE ROYAL BANK OF SCOTLAND GROUP  
PLC, THE ROYAL BANK OF SCOTLAND PLC,  
RBS SECURITIES JAPAN LIMITED,  
BARCLAYS BANK PLC, BARCLAYS PLC,  
BARCLAYS CAPITAL INC., CITIBANK, NA,  
CITIGROUP, INC., CITIBANK, JAPAN LTD.,  
CITIGROUP GLOBAL MARKETS JAPAN, INC.,  
COÖPERATIEVE CENTRALE RAIFFEISEN-  
BOERENLEENBANK B.A., HSBC HOLDINGS  
PLC, HSBC BANK PLC, LLOYDS BANKING  
GROUP PLC, HBOS PLC, LLOYDS BANK PLC,  
ICAP PLC, ICAP EUROPE LIMITED, R.P.  
MARTIN HOLDINGS LIMITED, MARTIN  
BROKERS (UK) LTD., TULLETT PREBON PLC,

BANK OF AMERICA CORPORATION, BANK :  
OF AMERICA, N.A., MERRILL LYNCH :  
INTERNATIONAL INCORPORATED, AND :  
JOHN DOE NOS. 1-50, :  
: Defendants. :  
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Pursuant to Rule 7.1 of the Federal Rules of Civil Procedure, the undersigned counsel of record for Defendant ICAP plc hereby states as follows:

ICAP plc is a public limited company that has no parent organization. Schroders plc, a public limited company, owns greater than 10% of ICAP plc's stock. ICAP plc makes the preceding disclosure without prejudice to its right to contest personal jurisdiction in the above-captioned action.

Dated: September 30, 2015  
New York, New York

RICHARDS KIBBE & ORBE LLP

By: /s/ Brian S. Fraser

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